Self-Assessment Questionnaire on CSR/ Sustainability for Automotive Sector Suppliers

Corporate Social Responsibility (CSR)/Sustainability is a management model requiring companies to integrate environmental, social, and governance (ESG) topics into their corporate strategy, operations and supply chain.

Drive Sustainability has a set of common guidelines - the Guiding Principles - outlining expectations for suppliers on key CSR/Sustainability issues including human rights, working conditions, health and safety, environment and business ethics.

In line with the Guiding Principles, this Self-Assessment Questionnaire (SAQ) is designed to indicate and verify supplier compliance on CSR/Sustainability.

It was developed in 2014 and revised in 2019* by the members of Drive Sustainability - The Automotive Partnership. SAQ is currently used by ten of the members** and is intended to avoid duplication and improve efficiency.

The questionnaire relates to both parent company and site level:
> Site refers to "the industrial location where production takes place";
> Parent company refers to the "Group/Holding the supplier is part of";
> Headquarters refers to "the local administrative centre of an enterprise".

Suppliers filling out this questionnaire can click on the question mark next to each questions for clarifications.

* 2019 Working Group members: BMW Group, Daimler AG, Ford, Honda, Jaguar Land Rover, Scania CV AB, Toyota Motor Europe, Volkswagen Group, Volvo Cars and Volvo Group

** OEMs using the SAQ: BMW Group, Daimler AG, Ford, Honda, Jaguar Land Rover, Scania CV AB, Toyota Motor Europe, Volkswagen Group, Volvo Cars and Volvo Group

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Information for suppliers
Buyers collect the questionnaires through a 3rd party service provider. Please contact your buyer to find out which service provider to use.

Site:

Name: [_____]

Address of site (country, city and/or street): [_____]

[_____]

[_____]

Number of employees working on site (incl. agency workers): [_____]

- [ ] 0-9
- [ ] 10-49
- [ ] 50-99
- [ ] 100-249
- [ ] 250-499
- [ ] ≥500

Headquarter: [ ] Yes

[ ] No

Supplier ID: (fill in those that apply)

DUNS number: [_____]

Other (please specify): [_____]

Parent Company:

Name: [_____]

Address of parent company (country, city and/or street): [_____]

[_____]

Number of employees working on site (incl. contract workers): [_____]

- [ ] 0-9
- [ ] 10-49
- [ ] 50-99
- [ ] 100-249
- [ ] 250-499
- [ ] ≥500

Business area: [_____]

Completed by:

Name : [_____]

Job title: [_____]

E-mail: [_____]

Tel: [_____]

A. COMPANY MANAGEMENT (GENERAL)

1a. Does your company have a management person responsible for Social Sustainability?*

- ☐ Yes
- ☐ No
- ☐ If yes, please provide:

Name: _____

E-mail: _____

Job title: _____

1b. Does your company have a management person responsible for Compliance?*

- ☐ Yes
- ☐ No
- ☐ If yes, please provide:

Name: _____

E-mail: _____

Job title: _____

1c. Does your company have a management person responsible for Environmental Sustainability?*

- ☐ Yes
- ☐ No
- ☐ If yes, please provide:

Name: _____

E-mail: _____

Job title: _____

* Please fill out the contact details, even if the person is the same as above.

BACKGROUND INFORMATION

Companies are expected to appoint a senior management representative, who irrespective of other responsibilities, serves as a management person responsible for ensuring that the company meets its commitment related to social sustainability, compliance and environmental sustainability.

The contact details that you provide in response to this question will not be contacted without prior notice. In the first instance, enquiries will be directed to the person that completes this self-assessment questionnaire.

Social sustainability relates to practices that contribute to the quality of life of both employees and communities that could be impacted by the company's operations. Companies should respect the human rights of workers, and treat all people with dignity as recognized by the international community. Examples of social topics to address include non-discrimination, freedom of association, health and safety, etc. (See Section B - Working Conditions and Human Rights)

Compliance relates to the principles that guide business conduct in its relations towards its business partners and customers. Companies are expected to uphold the highest standards of integrity and to operate honestly and equitably throughout the supply chain in accordance with local laws. Examples of unethical business practice include corruption, unfair competition, conflicts of interest, etc. (See Section C - Business Ethics).

Environmental sustainability relates to practices that contribute to the quality of the environment on a long-term basis. Companies are expected to support a proactive approach to environmental responsibility by protecting the environment, conserving natural resources and reducing the environmental footprint of their production, products and services throughout their life-cycle. Examples of company practices include greenhouse gas emissions, waste reduction programmes, etc. (See Section D - Environment).

3

A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION

2. Does your company publish a CSR/Sustainability Report?

☐ Yes, according to GRI or other globally accepted standards
Please provide the name of the globally accepted standard [   ]
Please upload report

☐ Yes, but not according to globally accepted standards
Please upload report

☐ No

2a. If answered "Yes" to Q2, is the most recent report assured by a third party?

☐ Yes, the assurance letter is included in the report

☐ Yes, but the assurance letter is not included in the report
Please upload the assurance letter

☐ No

A **CSR/Sustainability report** is an organisational report that gives information about economic, environmental, social and ethical performance.

Examples of internationally recognised standards and frameworks for CSR/Sustainability report are:
> Global Reporting Initiative (GRI) Standards;
> Sustainability Accounting Standards Board (SASB);
> Climate Disclosure Standards Board (CDP-CDSB);
> United Nations Global Compact - Communication on Progress (UNGC-COP).

In the European Union, EU Directive on the disclosure of non-financial and diversity information (Directive 2014/95/EU) laid down the rules on the disclosure of non-financial and diversity information by large companies. Subsequently, the Directive was transposed into the national legislation of Member States with some differences in implementation between countries.

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3. Does your company have a Code of Conduct?

☐ Yes
Please upload relevant document

☐ No

3a. If answered "Yes" to Q3, do you organise training for your employees on the Code of Conduct?

☐ Yes
Please upload relevant document

☐ No, but we communicate the Code of Conduct through intranet/brochures, etc.
Please upload relevant document

☐ No

A **Code of Conduct** is a set of rules outlining the responsibilities or proper practice for an individual (employee) and organisation. It could cover social, ethical and environmental aspects.

A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION

4. Does your company provide a grievance mechanism through which impacted stakeholders and rightsholders can raise complaints and seek to have them addressed with the enterprise?

☐ Yes, we have a grievance mechanism, which is available for our employees as well as for external stakeholders (e.g. suppliers, communities) and our whole supply chain
Please upload relevant document

☐ Yes, we have an internal grievance mechanism, which is available only for the employees of our company
Please upload relevant document

☐ No

According to the **UN "Protect, Respect and Remedy" Framework**, companies are responsible to respect human rights and are expected to provide a remedy if their operations caused or contributed to adverse human rights impacts. Operational-level grievance mechanisms for those potentially impacted by enterprises' activities are recommended as an effective process through which companies can enable remediation.

B. WORKING CONDITIONS AND HUMAN RIGHTS	BACKGROUND INFORMATION

5. Does your company have a formal policy covering working conditions and human rights?

☐ Yes
Please upload relevant document

☐ No

A company policy refers to a business approach to a given issue and contains general principles and/or practical how-to-do items. A policy may include components such as prohibited behaviours, rights, and dispute procedures.

Social issues could be contained in the company's CSR policy, HR policy, Human Rights policy, etc.

The list here presented refers to the Global Automotive Sustainability Guiding Principles.

Human rights are the rights we are entitled to simply because we are human beings. They represent the universally agreed minimum conditions that enable all people to maintain their dignity. Human rights are inherent to all of us, whatever our nationality, place of residence, sex, national or ethnic origin, colour, religion, or any other status.
Source: Universal Declaration of Human Rights

B. WORKING CONDITIONS AND HUMAN RIGHTS	BACKGROUND INFORMATION
5a. If answered "Yes" to Q5, which of the following areas are covered by this policy? ☐ Child labour and young workers ☐ Wages and benefits ☐ Working hours ☐ Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking) ☐ Freedom of association and collective bargaining ☐ Harassment and non-discrimination	According to the UN Guiding Principles on Business and Human Rights, which were endorsed by the Human Rights Council resolution 17/4 in 2011, every company has to respect human rights and is responsible to do no harm to people. **Child labour and young workers** relate to the prohibition of employment of children who are under the legal minimum working age. Moreover, suppliers are expected to ensure that legally young workers that are under 18 years of age do not work at night or overtime and are protected against conditions of work which are harmful for their health, safety or development consistent with ILO Minimum Age Convention No. 138. ILO 138 light work consistent (article 6,7). The supplier should ensure that the duty of young workers doesn't interfere with their school attendance. Young workers daily total duty time and schooling shall not exceed 10 hours. *Source: EU Charter of Fundamental Rights and ILO* **Wages and benefits** relate to the basic or minimum wage or salary and any additional entitlements payable directly or indirectly, in cash or in kind, by the employer to the worker and arising out of the worker's employment. Examples include paid sick days, family and medical leave, paid overtime, etc. *Source: ILO-UNGC* **Working hours** relate to regular workweeks that should not exceed 48 hours. A workweek shall be restricted to 60 hours in emergency situations, including overtime. All overtime shall be voluntary. Employees should have a minimum of one day-off every seven days. Laws and regulations on the maximum number of working hours and time off shall be respected. *Source: Ethical Trading Initiative, based on ILO conventions* **Modern slavery** refers to all work or service exacted from any person under the menace of any penalty and for which that person has not offered himself/herself voluntarily. Examples include forced overtime, retention of identity documents, as well as human trafficking. Modern slavery - is subject to the Modern Slavery Act 2015 by the Parliament of the United Kingdom. This Act creates for companies who meet identified criteria an obligation to publish a "slavery and human trafficking statement" every year six months after the end of the company's financial year. *Source: International Labour Organisation (ILO) and The National Archives UK* **Freedom of association** relates to the right to freedom of peaceful assembly and to freedom of association at all levels, in particular in political, trade union and civic matters, which implies the right of everyone to form and to join trade unions for the protection of his or her interests. This includes also **collective bargaining**, as a process of negotiations between employers and a group of employees aimed at reaching an agreement that regulates working conditions. *Source: EU Charter of Fundamental Rights*

B. WORKING CONDITIONS AND HUMAN RIGHTS	BACKGROUND INFORMATION

5b. If answered "Yes" to Q5, do you organize training for your employees on this policy?

☐ Yes
Please upload relevant document

☐ No, but we communicate it through Intranet/ Brochures, etc.
Please upload relevant document

☐ No

Harassment is defined as a harsh and inhumane treatment - or the threat of such a treatment - including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers.
Source: Global Automotive Sustainability Practical Guidance

Non-discrimination is a principle that requires the equal treatment of an individual or group irrespective of their particular characteristics, including sex, race, colour, ethnic or social origin, genetic features, language, religion or belief, political or any other opinion, membership of a national minority, property, birth, disability, age or sexual orientation.
Source: EU Charter of Fundamental Rights

6. Does your site have a management system in place to manage the working conditions and human rights issues?

☐ Yes, we have an internationally recognised certified management system

Please provide the following information:
Awarding body [   ]

Certificate number [   ]

Valid until [   ]

Please upload relevant document

☐ Yes, we have a nationally recognised certified management system
Please provide the following information:
Awarding body [   ]

Certificate number [   ]

Valid until [   ]

Please upload relevant document

☐ Yes, but the system is uncertified

☐ No

A management system is a set of documented controls, processes and /or procedures reviewed by management. It could be internal or developed according to a standard (Certified Management System).

A documented procedure is a written description of prescribed course of action or a process to manage and control organisations activities.

Examples of relevant globally accepted standards include:
> ISO26000 Guidance Social Responsibility
> SA8000 Social Management System

Suppliers with a valid certificate not available to be uploaded due to administrative process delays, can specify this in section G. "Additional Information", complemented with a statement from the awarding body.

7

C. HEALTH AND SAFETY	BACKGROUND INFORMATION
7. Does your company have a formal written health and safety policy, which complies with local law, industry requirements and international standards? ☐ Yes Please upload relevant document ☐ No	**Health and safety** refers to the science of the anticipation, recognition, evaluation and control of hazards arising in or from the workplace that could impair the health and well-being of workers, taking into account the possible impact on the surrounding communities and the general environment. Source: ILO Examples of specific activities on Health and Safety include: > Training on the use of personal protective equipment > Training on company Health and Safety policy > Work environment inspections > Training on work with hazardous materials > Distribution of educational materials on health and safety procedures > Information campaign for workers on health and safety procedures specific to the site
7a. If answered "Yes" to Q7, which of the following areas are covered by this policy? ☐ Personal protective equipment ☐ Machine safety ☐ Emergency preparedness ☐ Incident and accident management ☐ Workplace ergonomics ☐ Handling of chemicals ☐ Fire protection	Health and safety policy must be compliant with legal requirements and should highlight the commitment of management and employees to a healthy and safe workplace with a goal of 'zero accidents'. It is the responsibility of management to provide sufficient resources and organization for health and safety and to do regular risk assessment and reporting in order to ensure continuous improvement of the system.
7b. If answered "Yes" to Q7, do you organize training for your employees on this policy? ☐ Yes Please upload relevant document ☐ No, but we communicate it through Intranet/ Brochures, etc. Please upload relevant document ☐ No	

C. HEALTH AND SAFETY	BACKGROUND INFORMATION

8. Does your site have a health and safety management system in place?

☐ Yes, we have an internationally recognised certified management system

Please provide the following information:

Awarding body [   ]

Certificate number [   ]

Valid until [   ]

Please upload relevant document

☐ Yes, we have a nationally recognised certified management system

Please provide the following information:

Awarding body [   ]

Certificate number [   ]

Valid until [   ]

Please upload relevant document

☐ Yes, but the system is uncertified

Please upload relevant document

☐ No

BACKGROUND INFORMATION

Health and safety management system relates to organised efforts and procedures for identifying workplace hazards and reducing accidents and exposure to harmful situations and substances. It also includes the training of personnel in accident prevention, accident response, emergency procedures, and use of protective clothing and equipment.

Examples of relevant globally accepted standards and certification include:
> Occupational Health and Safety Assessment OHSAS18001 (BS OHSAS 18001)
> ISO 45001 Occupational health and safety
> Guidelines on occupational safety and health management systems (ILO-OSH 2001)

Suppliers with a valid certificate not available to be uploaded due to administrative process delays, can specify this in section G. "Additional Information", complemented with a statement from the awarding body.

D. BUSINESS ETHICS	BACKGROUND INFORMATION
9. Does your company have a formal policy covering business ethics? ☐ Yes Please upload relevant document ☐ No	Business Conduct and Compliance Policy and principles apply to employees, independent contractors, consultants, and others with whom business has been done. Formal policy on business conduct and compliance helps drive business ethically, honestly, and in full compliance with all laws and regulations. Those principles should apply to every business decision in every area of the company (worldwide). The list here presented refers to the Global Automotive Sustainability Guiding Principles **Corruption** can take many forms that vary in degree from the minor use of influence to institutionalised bribery. It is defined as the abuse of entrusted power for private gain. This can mean not only financial gain but also non-financial advantages. Source: UN Global Compact and Transparency International **Extortion:** solicitation of bribes is the act of asking or enticing another to commit bribery. It becomes extortion when this demand is accompanied by threats that endanger the personal integrity or the life of the private actors involved. Source: UN Global Compact and OECD Guidelines for Multinational Enterprises **Bribery** is an offer or receipt of any gift, loan, fee, reward or other advantage to or from any person as an inducement to do something which is dishonest, illegal or a breach of trust, in the conduct of the enterprise's business. Source: UN Global Compact and Transparency International The right to **privacy** is defined as "No one shall be subjected to arbitrary interference with his privacy, family, home or correspondence, nor to attacks upon his honour and reputation. Everyone has the right to the protection of the law against such interference or attacks." Source: Universal Declaration of Human Rights In the European Union, the General Data Protection Regulation (GDPR) was approved and adopted by the EU Parliament in April 2016 and it will be in force May 2018. The aim is to protect all EU citizens from privacy and data breaches in an increasingly data-driven world. The GDPR applies to organisations located within the EU, as well as to organisations located outside of the EU if they offer goods or services to, or monitor the behaviour of, EU data subjects. It applies to all companies processing and holding the personal data of data subjects residing in the European Union, regardless of the company's location. Source: EU GDPR Portal **Financial responsibility** refers to a company's responsibility to accurately record, maintain, and report business documentation including, but not limited to, financial accounts, quality reports, time records, expense reports, and submissions to customers or regulatory authorities, when appropriate. Books and records are expected to be maintained in accordance with applicable law and generally accepted accounting principles. Source: Global Automotive Sustainability Practical Guidance

10

D. BUSINESS ETHICS	BACKGROUND INFORMATION
9a. If answered "Yes" to Q9, which of the following areas are covered by this policy? ☐ Corruption, extortion and bribery ☐ Privacy ☐ Financial responsibility (accurate records) ☐ Disclosure of information ☐ Fair competition and anti-trust ☐ Conflicts of interest ☐ Counterfeit parts ☐ Intellectual property ☐ Export controls and economic sanctions ☐ Whistleblowing and protection against retaliation	**Disclosure of information** refers to a company's responsibility to disclose financial and non-financial information in accordance with applicable regulations and prevailing industry practices and, when applicable, disclose information regarding their labour force, health and safety practices, environmental practices, business activities, financial situation and performance. Source: Global Automotive Sustainability Practical Guidance **Fair competition and anti-trust** refers to the upholding by companies of standards of fair business and competition including, but not limited to, avoiding business practices that unlawfully restrain competition; improper exchange of competitive information; and price fixing, bid rigging, or improper market allocation. It is the prime responsibility of large, medium and small companies alike to comply with competition rules. Companies need to be aware of the risks of infringing competition rules and how to develop a compliance policy/strategy that best suits their needs. An effective compliance policy/strategy enables a company to minimize the risk of involvement in competition law infringements, and the costs resulting from anti-competitive behaviour. Source: Global Automotive Sustainability Practical Guidance and European Commission **Conflict of interest** occurs when an individual or a corporation (either private or governmental) is in a position to exploit his or their own professional or official capacity in some way for personal or corporate benefit. Source: OECD **Counterfeit parts:** companies are expected to develop, implement, and maintain methods and processes appropriate to their products and services to minimize the risk of introducing counterfeit parts and materials into deliverable products. Companies are also expected to establish effective processes to detect counterfeit parts and materials and, if detected, quarantine the materials and notify the Original Equipment Manufacturer (OEM) customer and/or law enforcement as appropriate. Finally, companies are expected to confirm that any sales to non-OEM customers are compliant with local laws and those products sold will be used in a lawful manner. Source: Global Automotive Sustainability Practical Guidance **Intellectual property** refers to creations of the mind, such as inventions; literary and artistic works; designs; and symbols, names and images used in commerce. It is protected in law by, for example, patents, copyright and trademarks, which enable people to earn recognition or financial benefit from what they invent or create. Source: World Intellectual Property Organisation **Export controls and economic sanctions** refer to restrictions on the export or re-export of goods, software, services and technology, as well as with applicable restrictions on trade involving certain countries, regions, companies or entities and individuals. Source: Global Automotive Sustainability Practical Guidance

D. BUSINESS ETHICS	BACKGROUND INFORMATION

9b. If answered "Yes" to Q9, do you organize training for your employees on this policy?

☐ Yes
Please upload relevant document

☐ No, but we communicate it through Intranet/ Brochures, etc.
Please upload relevant document

☐ No

Retaliation is defined as a direct or indirect adverse administrative decision and/or action that is threatened, recommended or taken against an individual who has reported suspected wrongdoing that implies a significant risk or cooperated with a duly authorized audit or an investigation of a report of wrongdoing.
Companies are expected to establish processes (whistleblowing system) that allow concerns to be raised anonymously with confidentiality and without retaliation.
Source: WHO and Global Automotive Sustainability Practical Guidance

E. ENVIRONMENT	BACKGROUND INFORMATION

10. Does your company have a formal environmental policy, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?

☐ Yes
Please upload relevant document

☐ No

10a. If answered "Yes" to Q10, which of the following areas are covered by this policy?

☐ GHG emissions, energy efficiency and renewable energy

☐ Water quality and consumption

☐ Air quality

☐ Sustainable resources management and waste reduction

☐ Responsible chemical management

☐ Other areas (please specify)

[   ]

10b. If answered "Yes" to Q10, do you organize training for your employees on this policy?

☐ Yes
Please upload relevant document

☐ No, but we communicate it through Intranet/ Brochures, etc.
Please upload relevant document

☐ No

An environmental policy shows the company's overall intentions and direction related to its environmental performance. It reflects the company's commitment and is formally expressed by top management.

It provides a framework for action, setting environmental objectives which take into account applicable legal and other requirements and the company's environmental impact of its operations, products and services, with the purpose of decreasing the environmental impact, saving resources and costs.

The list of topics presented refers to the Global Automotive Sustainability Guiding Principles and is explained in the related Guidance Document.

The question is relevant for all suppliers: direct (production, aftermarket suppliers, etc.) and indirect (non-production, service suppliers, contractors, etc.).

E. ENVIRONMENT	BACKGROUND INFORMATION

11. Does your site have an environmental management system in place?

☐ Yes, we have an internationally recognised certified management system
Please provide the following information:

Awarding body _____

Certificate number _____

Valid until _____

Please upload relevant document

☐ Yes, we have a nationally recognised certified management system
Please provide the following information:

Awarding body _____

Certificate number _____

Valid until _____

Please upload relevant document

☐ Yes, but the system is uncertified
Please upload relevant document

☐ No

11a. Does your site have an environmental program that includes targets, activities, and performance monitoring to continuously improve its environmental performance?

☐ Yes (please, upload relevant document explaining the objectives and the activities to achieve them)

☐ No

BACKGROUND INFORMATION

An environmental management system enables a company, in a structured and preventive way, to work with its environmental performance and improve its environmental impact from its operations, products and services. Examples include: developing a policy/ directions; establishing objectives; subscribing to legal and other requirements; risk management; implementing working procedures to achieve continuous improvements to support environmental protection; and reducing or preventing pollution.

Examples of relevant globally accepted standards and certification include:
> ISO14001:2015 EMS
> ISO14064 GHG
> PAS 2060 Carbon neutrality
> BS/EN/ISO14006:2011/14004:2010/14001:2004 Environmental management systems
> BS8555 Certification: Implementation of environmental management systems
> PAS2050 Carbon footprint
> EU Eco-Management and Audit Scheme (EMAS)

Environmental audits enable an organisation to assess and demonstrate its compliance to legislation; environmental performance; and the benefits and limitations of its environmental policy. It is a way of measuring the extent to which a company lives up to the shared values and objectives it has committed itself to.

Environmental audits can be conducted internally or by an external body that issues a certificate.

Suppliers with a valid certificate not available to be uploaded due to administrative process delays, can specify this in section G. "Additional Information", complemented with a statement from the awarding body.

13

E. ENVIRONMENT	BACKGROUND INFORMATION

12. Does your site have an energy management system?

☐ Yes, we have an internationally recognised certified management system

Please provide the following information:

Awarding body ☐

Certificate number ☐

Valid until ☐

Please upload relevant document

☐ Yes, we have a nationally recognised certified management system

Please provide the following information:

Awarding body ☐

Certificate number ☐

Valid until ☐

Please upload relevant document

☐ Yes, but the system is uncertified

☐ No

12a. Are you aware what percentage of energy used at your site in the last calendar year came from renewable sources?

☐ Yes

☐ No

12b. If answered "Yes" to Q12a, please indicate the %:

☐ 100%

☐ 75-99%

☐ 50-74%

☐ 25-49%

☐ Less than 25%

An energy management system is a systematic process for continually improving energy performance and maximising energy savings.

Examples of relevant globally accepted standards and certification include:

> ISO 50001 - Energy Management

Suppliers with a valid certificate not available to be uploaded due to administrative process delays, can specify this in section G. "Additional Information", complemented with a statement from the awarding body.

Renewable energy sources are inexhaustible energy sources replenished naturally over time. The following energy sources can be classified as renewable:
> Wind
> Solar
> Hydro
> Biomass
> Geothermal
> Marine

E. ENVIRONMENT	BACKGROUND INFORMATION

13. Does your site use any substances with restrictions in production or operations?

- [ ] Yes
- [ ] No

Restrictions are a tool to protect human health and the environment from unacceptable risks posed by chemicals. Restrictions may limit or ban the manufacture, placing on the market or use of a substance. A restriction applies to any substance on its own, in a mixture or in an article, including those that do not require registration. It can also apply to imports.

Examples of hazardous substances include - but not limited to: lead, AZO dyes, DMF, PAHs, Phthalates, PFOS, nickel release.

Source: European Chemicals Agency

13a. If answered "Yes" to Q13, does your site have written procedures to manage substances with restrictions?

- [ ] Yes
  Please upload relevant document
- [ ] No

Examples of regulations on restricted substances and chemical handling:

(1) REACH (Registration, Evaluation, Authorisation, and Restriction of Chemicals):

REACH is a European Union Regulation addressing the production and use of chemical substances, and their potential impact on both human health and the environment. The regulation defines and includes substances, preparations and articles. Manufacturers and importers are required to gather information on the properties of their chemical substances and to register the information in a central database run by the European Chemicals Agency.

(2) RoHS (Restriction of Hazardous Substances):

RoHS or the Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment Directive (2011/65/EU) bans the placing on the EU market of new electrical and electronic equipment containing more than the agreed levels of lead, cadmium, mercury and other substances.

14. Does your company have a current CDP score?

- [ ] Yes
- [ ] No

CDP uses the scoring methodology to incentivize companies to measure and manage environmental impacts through participation in CDP's climate change, water, forests and supply chain programs. Each of CDP's questionnaires (Climate change, Water and Forests) has an individual scoring methodology.

14a. If answered "Yes" to Q14, specify the score:

Climate Change	
Water	
Forests - Cattle	
Forests - Timber	
Forests - Soy	
Forests - Palm oil	

15

15. Does your company have set CSR/Sustainability requirements towards suppliers?

☐ Yes
Please upload relevant document

☐ No

15a. If answered "Yes" to Q15, which areas are covered by this set of requirements?

☐ <u>Working conditions and human rights</u>
☐ Child labour and young workers
☐ Wages and benefits
☐ Working hours
☐ Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking)
☐ Freedom of association and collective bargaining
☐ Harassment and non-discrimination

☐ <u>Health and safety</u>
☐ Health and safety

☐ <u>Business ethics</u>
☐ Corruption, extortion and bribery
☐ Privacy and data protection
☐ Fair competition and anti-trust
☐ Conflicts of interest
☐ Whistleblowing and protection against retaliation

☐ <u>Environment</u>
☐ GHG emissions, energy efficiency and renewables
☐ Water quality and consumption
☐ Air quality

Examples of Supplier CSR/Sustainability Policy could be a specific Supplier Code of Conduct or a Company Conduct document which applies to both internal employees as well as external business partners, such as suppliers.

The objective should be to promote healthy working conditions and environmental responsibility throughout the entire supply chain.

Upstream supplier management refers to enforcing sustainability requirements in the entire supply chain, i.e. making sure that suppliers also have established the requirements for their own suppliers.

16

☐ Sustainable resources management and waste reduction

☐ Responsible chemical management

☐ Other areas (please specify)

[   ]

☐ Upstream supplier management

☐ Sustainability requirements for own suppliers

15b. If answered "Yes" to Q15, does your company use any of the following channels to communicate its Supplier CSR/Sustainability Requirements to your suppliers?"

☐ Included in Terms and Conditions
Please upload relevant document

☐ Supplier training
Please upload relevant document

☐ Supplier Code of Conduct/ Supplier Sustainability Policy
Please upload relevant document

☐ Company website/ Supplier portal
Please upload relevant document

☐ None

15c. Which processes does your company have in place to review if suppliers fulfil your requirements?

☐ 3rd party audits (conducted by an accredited certification body)

☐ 2nd party audits (conducted by your company)

☐ Self-assessment questionnaire

☐ None
please upload relevant document

A **2nd party audit** is an external audit performed by customers or by others on their behalf. It can also be done by regulators or any external party that has a formal interest in an organisation.

A **3rd party** audit is an external audit performed by independent organisations such as registrars (certification bodies) or regulators.
(Source: ISO 19011 Auditing Definitions)

17

G. RESPONSIBLE SOURCING OF RAW MATERIALS

This question is not relevant for service providers

BACKGROUND INFORMATION

16. Are any of the following materials contained in your products? (Tick all that apply)

- [ ] Aluminium/ Bauxite
- [ ] Cobalt
- [ ] Copper
- [ ] Glass (silica sand)
- [ ] Gold
- [ ] Graphite (natural)
- [ ] Leather
- [ ] Lithium
- [ ] Mica
- [ ] Nickel
- [ ] Palladium
- [ ] Rare Earth Elements
- [ ] Rubber (natural)
- [ ] Steel/ Iron
- [ ] Tantalum
- [ ] Tin
- [ ] Tungsten
- [ ] Zinc
- [ ] None

16a. If any raw material from the list above selected, does your company have a policy on the responsible sourcing of these raw materials?

- [ ] Yes
  Please upload relevant document
- [ ] No

Responsible Sourcing of Materials:

Companies are expected to conduct due diligence to understand the source of the raw materials used in their products.

Companies are expected to:

> conduct due diligence to understand the source of the raw materials used in their products.

> not knowingly provide products containing raw materials that contribute to human rights abuses, bribery and ethics violations, or negatively impact the environment.

> use validated conflict free smelters and refiners for procurement of tin, tungsten, tantalum and gold contained in the products they produce

Guidance which raw materials are contained in products can be found in IMDS.

For more information on priority materials, producer countries, and associated environmental, social, and governance issue please refer to the Material Change report.

G. RESPONSIBLE SOURCING OF RAW MATERIALS	BACKGROUND INFORMATION
This question is not relevant for service providers	

16b. If tantalum, tin, tungsten or gold are selected, does your company have a company-scope Conflict Minerals Reporting Template (CMRT)?

☐ Yes
Please upload CMRT template, using the latest version from the RMI website

☐ No
Please upload CMRT template, using the latest version from the RMI website

16c. If cobalt is selected, does your company have a company-scope Cobalt Reporting Template (CRT)?

☐ Yes
Please upload CRT template, using the latest version from the RMI website

☐ No
Please upload CRT template, using the latest version from the RMI website

Example of legislation relating to "conflict minerals":

Dodd-Frank Wall Street Reform and Consumer Protection Act, US federal law
The Dodd-Frank Act requires companies listed in the US stock exchange or American companies of a certain size to disclose their use of so - called conflict minerals (tantalum, tin, tungsten or gold sourced from the Democratic Republic of Congo and its neighbouring states).
Companies that are at risk of using conflict minerals are required to undertake due diligence on the sourcing and file a conflict minerals report.

EU-Directive on Conflict Minerals
The Directive requires large public-interest entities with more than 500 employees to disclose in their annual report relevant information on: policies, outcomes and risks, including due diligence that they implement; relevant non-financial key performance indicators; environmental aspects, social and employee matters, respect for human rights, anti-corruption and bribery issues.

Examples of conflict minerals reporting template:

(1) Conflict Minerals Reporting template: this template was developed by RMI to facilitate the transfer of information through the supply chain regarding mineral country of origin and smelters and refiners being utilized

(2) Cobalt Reporting Template: this template was developed by RMI to identify choke points and collect due dilligence information in the cobalt supply chain.

19

H. ADDITIONAL INFORMATION

17. Please use the space below to provide additional information (e.g. comments regarding policy, timing for certification, etc.).

Drive Sustainability - The Automotive Partnership

Drive Sustainability is an Automotive Partnership between BMW Group, Daimler AG, Ford, Honda, Jaguar Land Rover, Scania CV AB, Toyota Motor Europe, Volkswagen Group, Volvo Cars and Volvo Group.

The Partnership, facilitated by CSR Europe, aims to drive sustainability throughout the automotive supply chain by promoting a common approach within the industry and by integrating sustainability in the overall procurement process.

Drive Sustainability operates under strict anti-trust policies.

About CSR Europe

CSR Europe is the leading European business network for Corporate Sustainability and Responsibility. With our corporate members and National CSR organisations, we unite, inspire & support over 10,000 enterprises at local, European and global level.

We support businesses & industry sectors in their transformation and collaboration towards practical solutions and sustainable growth. We are for systemic change; therefore, following the SDGs, we want to co-build with the European leaders and stakeholders an overarching strategy for a Sustainable Europe 2030.

The Self-Assessment Questionnaire can be used under the following terms:

SAQ Scoring System

$$\textbf{Total SAQ score} = \sum \text{Score for indicator}_i \times k_i$$

Question	Answers	Score	k
Responsible management person			
1a. Does your company have a management person responsible for Social Sustainability?	Yes	0,33	**0,0375**
	No	0	
1b. Does your company have a management person responsible for Compliance?	Yes	0,33	
	No	0	
1c. Does your company have a management person responsible for Environmental Sustainability?	Yes	0,33	
	No	0	
Max score for indicator		0,99	
CSR/Sustainability report			
2. Does your company publish a CSR/ Sustainability Report?	Yes, according to GRI or other globally accepted standards	0,8	**0,0375**
	Yes, but not according to globally accepted standards	0,4	
	No	0	
Max score for question		0,8	
2a. If answered "Yes" to Q2, is the most recent report assured by a third party?	Yes, the assurance letter is included in the report	0,2	
	Yes, but the assurance letter is not included in the report	0,2	
	No	0	
Max score for question		0,2	
Max score for indicator		1	

Question	Answers	Score	k
Code of Conduct			
3. Does your company have a Code of Conduct?	Yes	0,6	**0,100**
	No	0	
Max score for question		0,6	
3a. If answered "Yes" to Q3, do you organise training for your employees on the Code of Conduct?	Yes	0,4	
	No, but we communicate the Code of Conduct through intranet/brochures, etc.	0,2	
	No	0	
Max score for question		0,4	
Max score for indicator		1	
Grievance mechanism			
4. Does your company provide a grievance mechanism through which impacted stakeholders and rightsholders can raise complaints and seek to have them addressed with the enterprise?	Yes, we have a grievance mechanism, which is available for our employees as well as for external stakeholders (e.g. suppliers, communities) and our whole supply chain	1	**0,0375**
	Yes, we have an internal grievance mechanism, which is available only for the employees of our company	0,5	
	No	0	
Max score for indicator		1	
Policy on working conditions and human rights			
5. Does your company have a formal policy covering working conditions and human rights?	Yes	0	**0,058**
	No	0	
5a. If answered "Yes" to Q5, which of the following areas are covered by this policy?	Child labour and young Workers	0,1	
	Wages and benefits	0,1	
	Working hours	0,1	
	Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking)	0,1	
	Freedom of association and collective bargaining	0,1	
	Harassment and non-discrimination	0,1	
Max score for question		0,6	
5b. If answered "Yes" to Q5, do you organize training for your employees on this policy?	Yes	0,4	
	No, but we communicate it through Intranet/ Brochures, etc.	0,2	
	No	0	
Max score for question		0,4	
Max score for indicator		1	

Question	Answers	Score	k
Management system for working conditions and human rights			
6. Does this site have a management system in place to manage the working conditions and human rights issues?	Yes, we have an internationally recognised certified management system	1	**0,100**
	Yes, we have a nationally recognised certified management system	0,75	
	Yes, but the system is uncertified	0,5	
	No	0	
Max score for indicator		1	
Policy on health and safety			
7. Does your company have a formal written health and safety policy, which complies with local law, industry requirements and international standards?	Yes	0	**0,058**
	No	0	
7a. If answered "Yes" to Q7, which of the following areas are covered by this policy or related processes and procedures?	Personal protective Equipment	0,086	
	Machine safety	0,086	
	Emergency preparedness	0,086	
	Incident and accident Management	0,086	
	Workplace ergonomics	0,086	
	Handling of chemicals	0,086	
	Fire protection	0,086	
Max score for question		0,6	
7b. If answered "Yes" to Q7, do you organize training for your employees on this policy?	Yes	0,4	
	No, but we communicate it through Intranet/ Brochures, etc.	0,2	
	No	0	
Max score for question		0,4	
Max score for indicator		1	
Management system for health and safety			
8. Does your site have a health and safety management system in place?	Yes, we have an internationally recognised certified management system	1	**0,100**
	Yes, we have a nationally recognised certified management system	0,75	
	Yes, but the system is uncertified	0,5	
	No	0	
Max score for indicator		1	
Policy on business ethics			
9. Does your company have a formal policy covering business ethics?	Yes	0	**0,058**
	No	0	

Question	Answers	Score	k
9a. If answered "Yes" to Q9, which of the following areas are covered by this policy?	Corruption, extortion and bribery	0,06	
	Privacy	0,06	
	Financial responsibility (accurate records)	0,06	
	Disclosure of information	0,06	
	Fair competition and anti-trust	0,06	
	Conflicts of interest	0,06	
	Counterfeit parts	0,06	
	Intellectual property	0,06	
	Export controls and economic sanctions	0,06	
	Whistleblowing and protection against retaliation	0,06	
Max score for question		0,6	
9b. If answered "Yes" to Q9, do you organize training for your employees on this policy?	Yes	0,4	
	No, but we communicate it through Intranet/ Brochures, etc.	0,2	
	No	0	
Max score for question		0,4	
Max score for indicator		1	
Policy on environment			
10. Does your company have a formal environmental policy, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?	Yes	0	**0,058**
	No	0	
10a. If answered "Yes" to Q10, which of the following areas are covered by this policy?	GHG emissions, energy efficiency and renewables	0,12	
	Water quality and consumption	0,12	
	Air quality	0,12	
	Sustainable resources management and waste reduction	0,12	
	Responsible chemical management	0,12	
	Other areas (please specify)	0	
Max score for question		0,6	
10b. If answered "Yes" to Q10, do you organize training for your employees on this policy?	Yes	0,4	
	No, but we communicate it through Intranet/ Brochures, etc.	0,2	
	No	0	
Max score for question		0,4	
Max score for indicator		1	

Question	Answers	Score	k
Environmental management system			
11. Does your site have an environmental management system in place?	Yes, we have an internationally recognised certified management system	0,8	**0,100**
	Yes, we have a nationally recognised certified management system	0,6	
	Yes, but the system is uncertified	0,4	
	No	0	
Max score for question		0,8	
11a. Does your site have an environmental program including targets, activities, and performance monitoring to continuously improve its environmental performance?	Yes	0,2	
	No	0	
Max score for question		0,2	
Max score for indicator		1	
Energy management system			
12. Does your site have an energy management system?	Yes, we have an internationally recognised certified management system	1	**0,0375**
	Yes, we have a nationally recognised certified management system	0,75	
	Yes, but the system is uncertified	0,5	
	No	0	
Max score for indicator		1	
Procedures to manage substances with restrictions			
13. Does your site use any substances with restrictions in production or operations?	Yes	0	**0,058**
	No	1	
13a. If answered "Yes" to Q13, does your site have written procedures to manage substances with restrictions?	Yes	1	
	No	0	
Max score for indicator		1	
CSR/Sustainability requirements towards suppliers			
15. Does your company have set CSR/ Sustainability requirements towards suppliers?	Yes	0	**0,100**
	No	0	
15a. If answered "Yes" to Q15, which areas are covered by this set of requirements?	Working conditions and human rights	0,1	
	Child labour and young workers	0,017	
	Wages and benefits	0,017	
	Working hours	0,017	
	Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking)	0,017	

Question	Answers	Score	k
	Freedom of association and collective bargaining	0,017	
	Harassment and non-discrimination	0,017	
	Health and safety	**0,1**	
	Health and safety	0,1	
	Business ethics	**0,1**	
	Corruption, extortion and bribery	0,02	
	Privacy and data protection	0,02	
	Fair competition and anti-trust	0,02	
	Conflicts of interest	0,02	
	Whistleblowing and protection against retaliation	0,02	
	Environment	**0,1**	
	GHG emissions, energy efficiency and renewables	0,02	
	Water quality and consumption	0,02	
	Air quality	0,02	
	Sustainable resources management and waste reduction	0,02	
	Responsible chemical management	0,02	
	Other areas (please specify)	0	
	Upstream supplier management	**0,1**	
	Sustainability requirements for own suppliers	0,1	
Max score for question		0,5	
15b. If answered "Yes" to Q15, does your company use any of the following channels to communicate its Supplier CSR/Sustainability Requirements to your suppliers?	Included in Terms & Conditions	0,1	
	Supplier training	0,07	
	Supplier Code of Conduct/ Supplier Sustainability Policy	0,05	
	Company website/ Supplier Portal	0,03	
	None	0	
Max score for question		0,25	
15c Which processes does your company have in place to review if your suppliers fulfil your requirements?	2nd party audits (conducted by your company)	0,1	
	3rd party audits (conducted by an accredited certification body)	0,1	
	Self-assessment questionnaire	0,05	
	None	0	
Max score for question		0,25	
Max score for indicator		**1**	

Question	Answers		Score	k
Policy on responsible sourcing of raw materials				
16. Are any of the following materials contained in your products? (Tick all that apply)	Yes		0	**0,058**
	No		1	
16a. If any raw material from the list above selected, does your company have a policy on responsible sourcing of these raw materials?	Yes		1	
	No		0	
Max score for indicator			1	